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DATE: January 14, 2004

ATTENTION: Examiner Michael C. Zarroli

FAX #: ~~1-703-746-4932~~ 703-872-9318

FROM: Niels Haun

RE: Shipley 02-12; DN: 51922 (ACT - 126/127)

Total Number of Pages Including this Cover Sheet: 24

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**In re the Application of **Steinberg**

Application No. 09/835,106

Attorney Docket No. Shipley 02-12

Filed: April 13, 2001

For: OPTICAL WAVEGUIDE SWITCH

Examiner: Michael C. Zarroll

Group Art Unit: 2839

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**OFFICIAL****CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R. § 1.8(a)**

I hereby certify that this Correspondence is being transmitted on the date identified below to the Patent and Trademark Office in accordance with § 1.6(d).

January 14, 2004  
Date of Certificate of Transmission

Cristin Donahue  
Cristin Donahue

Commissioner for Patents  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**


In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants are submitting herewith a Form PTO-1449 and a copy of the references listed thereon. This Information Disclosure Statement is being filed more than three months after the filing date of the RCE. However, Applicants have not yet received an action on the merits of the application. Accordingly, Applicants believe that no fee is required pursuant to 37 C.F.R. § 1.97 (b) (3). In the event a fee is required, the Commissioner is authorized to charge the required fees to deposit account no. 04-1406. A duplicate copy of this sheet is included for fee processing, if necessary.

Applicants respectfully request full and proper consideration of the listed information during examination of the application, and that the listed information be printed on any patent that issues therefrom.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN  
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Attorneys for Applicant(s)

By

  
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Enclosures - Form PTO-1449

Copies of references listed on PTO - 1449

**INFORMATION  
DISCLOSURE  
STATEMENT***Complete if known*

Application Number: 09/835,106

Filing Date: April 13, 2001

First Named Inventor: Steinberg

Group Art Unit: 2839

Examiner Name: Michael C. Zarroli

Attorney Docket Number: Shipley 02-12

SHEET 1 OF 1

**UNITED STATES PATENT DOCUMENTS**

EXAMINER'S INITIALS	CITE NO.	PATENT NUMBER	ISSUE DATE MM-DD-YYYY	FIRST NAMED INVENTOR

**FOREIGN PATENT DOCUMENTS**

EXAMINER'S INITIALS	CITE NO.	DOCUMENT NUMBER	COUNTRY OR REGION	DATE OF PUBLICATION MM-DD-YYYY	FIRST NAMED INVENTOR OR APPLICANT
		JP1999305151A	Japan	11/05/1999	Iwashima, Tetsu

**OTHER PRIOR ART - NON-PATENT DOCUMENTS**

EXAMINER'S INITIALS	CITE NO.	Include name of the author (in Capital Letters), title of the article (when appropriate), title of the item(book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

EXAMINER'S SIGNATURE	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 5609. Draw a line through citation if citation not in conformance and reference not considered. Include a copy of this form with next communication to applicant